

**GUIDELINE H-4**  
**(formerly 16-08)**

**Research Management**

**Legislative Authority:**

*Environmental Protection Act*

**Responsible Director:**

Director, Fiscal Planning and Information Management  
Branch

**Last Revision Date:**

April, 1994

## **Table of Contents**

- 1.0 DEFINITION**
- 2.0 MAJOR STEPS IN THE MINISTRY'S RESEARCH MANAGEMENT PROCESS**
- 3.0 KINDS OF PROJECTS SUPPORTED**
- 4.0 SELECTION REQUIREMENTS**
  - 4.1 Authorized Criteria for Approval
  - 4.2 Eligibility and Internal Criteria for Selection and Management
  - 4.3 Management Board Criteria for Approval
  - 4.4 Projects to be Performed Externally
  - 4.5 Ministry Priorities
  - 4.6 Liaison with Agencies
- 5.0 ADMINISTRATION AND APPROVALS**
  - 5.1 RAC Objectives
  - 5.2 RAC Membership
  - 5.3 RAC Review Co-ordinators
  - 5.4 Project Control and Reporting
  - 5.5 Records
- 6.0 PROJECT REVIEW AND ASSESSMENT**
- 7.0 UTILIZATION AND IMPLEMENTATION OF RESULTS**

## **SYNOPSIS**

The primary purpose of this guideline is to summarize the methods used by the Ministry to select, approve, and administer projects supported by the Research Advisory Committee. The Committee facilitates, through well-defined research projects, the solution of significant or urgent problems related to the protection of the environment and of human health.

### **1.0 Definition**

#### **Research:**

An investigative study undertaken on a systematic basis to increase the available store of scientific and technical knowledge, and the use of this knowledge in new applications and problem-solving (routine monitoring programs, technical surveys and the implementation of abatement measures are, by definition, excluded from the research category.)

### **2.0 Major Steps in the Ministry's Research Management Process**

There are three significant steps in the annual research management cycle:

- (a) identification of research requirements and development of research priorities;
- (b) evaluation of proposed research and allocation of resources; and
- (c) technology transfer.

Details on the organization of information flows, time frame for activities under each step, membership and Terms of Reference for the Research Advisory Committee and support network are provided in Procedure H-4-1: "Research Process".

### **3.0 Kinds of Projects Supported**

Financial support shall be directed primarily towards investigating problems associated with the natural environment and human health protection.

Other practical and cost-effective projects may be considered. These include projects which:

- (a) provide a mechanism to reduce an environmental risk factor, where public health is potentially in peril;
- (b) contribute to the development of environmental standards or criteria; and
- (c) demonstrate new and innovative techniques that can lead to the solution of environmental or health protection problems.

#### **4.0 Selection Requirements**

##### **4.1 Authorized Criteria for Approval**

Projects/programs must meet the following criteria to be approved:

- (a) specifically defined in terms of objectives;
- (b) set for a fixed term (normally, a maximum of three years); and
- (c) of a high technical quality with good likelihood of success.

##### **4.2 Eligibility and Internal Criteria for Selection and Management**

- (a) Public and professional communities, and firms shall have equal and sufficient opportunity for application.
- (b) Project review procedures shall ensure consistent evaluation criteria are applied to all proposals.
- (c) Adequate project management procedures shall ensure: project monitoring processes; and results evaluation and reporting;

##### **4.3 Management Board Criteria for Approval**

The planning, acquisition and management of research and development services shall conform to the requirements of the current directive on Research and Development Services in the "Management Board of Cabinet Directives and Guidelines" (2-4).

##### **4.4 Projects to be Performed Externally**

Projects shall be carried out by organizations external to the Ministry unless a clearly defined benefit can be demonstrated for in-house work, and approval by Management Board is secured. A project may also be carried out internally under a post-doctoral fellowship.

#### **4.5 MOEE Priorities**

The Ministry will identify research needs and areas of interest, and shall set priorities. It may call for proposals related to these priorities but may also accept some unsolicited proposals.

#### **4.6 Liaison with Agencies**

The Ministry shall maintain contact with other ministries and Federal departments to exchange information, develop joint projects, and avoid duplication.

### **5.0 Administration and Approvals**

Responsibility for administration and recommendation for approval belongs to the Research Advisory Committee (RAC) and will be exercised through the Research and Technology Section of the Fiscal Planning and Information Management Branch. Final approval of RAC-recommended proposals shall be the responsibility of the Assistant Deputy Minister, Corporate Resources Division.

#### **5.1 RAC Objectives**

RAC is responsible for providing advice to the Minister, Division Heads, and the Research and Technology Section regarding:

- (a) development of partnerships with other research institutions;
- (b) a longer-term research strategy;
- (c) annual research priorities;
- (d) guidelines on eligibility, funding levels, evaluation criteria and time-frames;
- (e) individual projects to be supported; and
- (f) assessment of benefits from completed projects.

#### **5.2 RAC Membership**

Members of the RAC shall include:

- (a) the Director, Fiscal Planning and Information Management Branch (FPIMB), who will act as the Chair of RAC;
- (b) the Manager, Research and Technology Section, FPIMB;
- (c) the Coordinator, Environmental Research Program, Research

and Technology Section, FPIMB;

- (d) a selection of other members from Ministry Directors (membership to be reviewed annually by RAC);
- (e) the Chair, Ontario Pesticides Advisory Committee;
- (f) Ex officio member(s) from other agencies involved in the support of environmental and health protection research, as recommended by RAC, and approved by the Assistant Deputy Minister;
- (g) a representative from Environment Canada.

### **5.3 RAC Review Co-ordinators**

The Research Technology Section (RTS) shall approve co-ordinators for each research area to assist with: identifying research priorities, reviewing proposals, recommending projects for approval, and providing assistance in monitoring and administering the research program.

Recommended projects shall be reviewed by the Assistant Deputy Minister, Corporate Resources Division for final approval.

### **5.4 Project Control and Reporting**

Liaison officers shall be appointed for each project to perform monitoring and control activities.

Investigators (researchers) shall provide regular progress reports and a final report for each project, in accordance with a formal, signed contract.

### **5.5 Records**

The RTS, shall maintain records, suitable for audit purposes, for each project.

### **6.0 Project Review and Assessment**

Each project will be assessed by intensive review of the liaison officer's reports and the project investigator's interim reports, and by subjecting the final report to scrutiny by a peer committee, as required. An annual review process shall be applied before recommendations for continued funding are made by the RAC.

### **7.0 Utilization and Implementation of Results**

The Research Technology Section shall be responsible for the following activities:

- (a) co-ordinating publication of results, as appropriate;
- (b) facilitating access to research results by interested public and private groups;
- (c) drafting recommendations with the relevant Ministry Branches and Regions for future Ministry action; and
- (d) encouraging the utilization of research results and the application of developed technologies towards the solution of environmental problems.